

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No. : Unassigned Confirmation No. :  
First Named Inventor : Hubert KOCH  
Filed : Herewith  
TC/A.U. : Unassigned  
Examiner : Unassigned  
  
Docket No. : 056226.57663US  
Customer No. : 23911  
  
Title : Cast Aluminium Alloy

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R § § 1.97 AND 1.98**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, the attached Form PTO/SB/08 lists documents which the Examiner may deem relevant to patentability of the claims of the above-identified application.

I. Time Period of Submission

This Information Disclosure Statement is submitted:

☒ 1) no later than three months from the application's filing date or 2) before the mailing date of the first Office Action on the merits (whichever is later) or 3) before a first Office Action after the filing of a Request for Continued Examination, and therefore no statement under 37 C.F.R. § 1.97(e) or fee under 37 C.F.R. § 1.17(p) is required.

☐ 2) after the later of three months from the application's filing date and the mailing date of the first Office Action on the merits, but before a Final Office Action, a Notice of Allowance, or an action closing prosecution (*Ex parte Quayle*), (whichever is earlier), and therefore Applicant is filing concurrently herewith:

- ☐ a Statement under 37 C.F.R. § 1.97(e); or
- ☐ a fee in the amount of \$180.00 under 37 C.F.R. § 1.17(p).

☐ 3) after either a Final Office Action or a Notice of Allowance, but before payment of the Issue Fee, and therefore Applicant is submitting herewith:

a Statement under 37 C.F.R. § 1.97(e); and

a fee in the amount of \$180.00 under 37 C.F.R. § 1.17(p).

II. Statement Under 37 C.F.R. § 1.97(e)

☐ I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or

☐ I hereby state that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making a reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement; or

III. Statement under 37 C.F.R. § 1.704(d)

☐ I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement.

IV. Submission of Non-English Language Documents

☒ The following is a concise explanation of relevance of the non-English language documents listed in the attached Form PTO/SB/08:

☒ The relevance of documents A3, A5, A9, A13 and A15 to the subject matter of the present invention is/are provided in the specification of the above-identified application.

☒ Documents A7, A11 and A12 were cited as being relevant in the corresponding International application. A copy of the International Search Report setting forth the portions of the documents which were found to be relevant by the Examiner is attached.

☒ Documents A1, A2, A4, A6, A8, A10 and A14 were cited as prior art in the corresponding German Patent No. 103 52 932 A1 to which this application claims priority to.

☒ English language abstracts are submitted for documents A3 – A6, A9, A11 and A12. The absence of a translation or an English-language counterpart document does not relieve the PTO from its duty to consider any submitted document (37 CFR §1.98 and MPEP§609)

☒ English translations of the foreign language documents A11 and A12 are submitted herewith.

V. Continuations/Divisionals

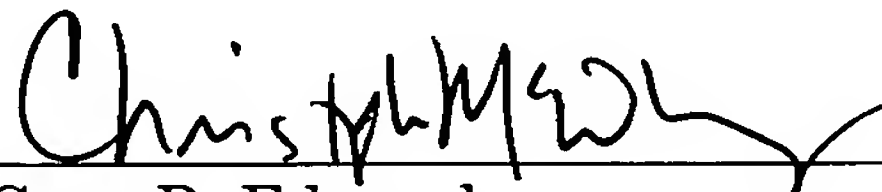
☐ Documents \_\_\_\_\_ were of record in parent application Serial No. \_\_\_\_\_, filed \_\_\_\_\_, from which this application claims benefit. As provided in 37 C.F.R. §1.98(d), copies of the documents are not being provided since they were previously submitted to or cited by the United States Patent and Trademark Office in the afore-mentioned parent application.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant does not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

If necessary, this paper should be considered as an authorization to charge Deposit Account 05-1323, Attorney Docket No.: 056226.57663US, for the fee set forth in 37 C.F.R. § 1.17(p).

Respectfully submitted,

May 11, 2006

  
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Substitute for form 1449B/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  Date Submitted: May 11, 2006  <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	Unassigned
				Filing Date	Herewith
				First Named Inventor	Hubert KOCH
				Group Art Unit	Unassigned
				Examiner Name	Unassigned
				Attorney Docket Number	056226.57663US
Sheet	1	of	2		

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
	A1	3,619,181	A	WILLEY	11-09-1971	
	A2	6,004,506	A	CHU et al.	12-21-1999	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
	A3	EP	0 687 742	A1	ALUMINIUM RHEINFELDEN GMBH	06-12-1995		
	A4	EP	0 853 133	A1	ALUMINIUM RHEINFELDEN GMBH	07-15-1998		
	A5	EP	0 792 380	B1	ALUMINIUM RHEINFELDEN GMBH	03-03-1999		
	A6	EP	0 918 095	A1	ALUSUISSE TECHNOLOGY & MANAGEMENT AG	05-26-1999		
	A7	EP	1 138 794	A1	CORUS ALUMINIUM VOERDE GMBH et al.	10-04-2001		
	A8	EP	1 170 394	A2	ALCOA INC.	01-09-2002		
	A9	EP	1 229 141	A1	ALUMINIUM RHEINFELDEN GMBH	08-07-2002		
	A10	EP	0 918 095	B1	ALCAN TECHNOLOGY & MANAGEMENT AG	03-26-2003		
	A11	JP	9-279280	A	THE FURUKAWA ELECTRIC CO., LTD.	10-28-1997		X

Examiner Signature	Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

<sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, PO Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, PO Box 1450, Alexandria, Virginia 22313-1450.

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Sheet	2	of	2	Attorney Docket Number	056226.57663US

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		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
	A12	JP	2000-328209	A	THE FURUKAWA ELECTRIC CO., LTD.	11-28-2000		X
	A13	WO	96/10099	A1	ASHURST TECHNOLOGY CORPORATION (IRELAND) LIMITED	04-04-1996		

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>6</sup>
	A14	"Optimierung einer AlSi-Gußlegierung...", <u>Giesserei 88</u> , 2001, H. 11, S. 25-32; Aluminium-Taschenbuch, 14. Auflage, 1983, S. 44 and 53	
	A15	FEIKUS et al., "Optimierung einer AlSi- Gußlegierung und anwendungsorientierte Entwicklung der Gießtechnik zur herstellung hochbelasteter Motorblocke," <u>Giesserei 88</u> , 13 November 2001, pp. 25-32	

Examiner Signature		Date Considered	
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